



3-70-05

JFW

EXPRESS MAIL LABEL NO.: EV 524683254 US

PATENT APPLICATION

Docket No.: 13768.418.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: )  
 )  
Robert George Atkinson, et al. )  
 )  
Serial No.: 10/683,624 ) Art Unit  
 ) 2142  
Filed: October 10, 2003 )  
 )  
Confirmation No.: 1838 )  
 )  
For: REDUCING UNWANTED AND UNSOLICITED )  
ELECTRONIC MESSAGES BY EXCHANGING )  
ELECTRONIC MESSAGE TRANSMISSION )  
POLICIES AND SOLVING AND VERIFYING )  
SOLUTIONS TO COMPUTATIONAL )  
PUZZLES )  
 )  
Examiner: Not Yet Known )

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that

any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

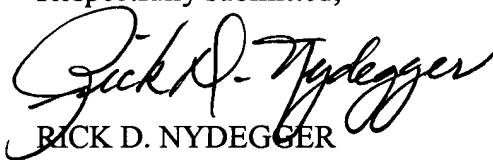
Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the published listed references or relevant portion thereof is also enclosed.

In accordance with 37 C.F.R. § 1.98(c), all English translations within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) of each nonenglish reference, if any, are also enclosed.

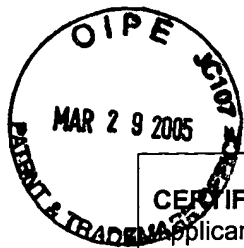
Dated this 29<sup>th</sup> day of March, 2005.

Respectfully submitted,



RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651  
Customer No. 47973

RDN:kcs  
KCS0000005148V001

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Robert George Atkinson, et al.

Docket No.  
13768.418.2Serial No.  
10/683,624Filing Date  
October 10, 2003Confirmation No.  
1838Examiner  
Not Yet KnownGroup Art Unit  
2142

Invention: REDUCING UNWANTED AND UNSOLICITED ELECTRONIC MESSAGES BY EXCHANGING ELECTRONIC MESSAGE TRANSMISSION POLICIES AND SOLVING AND VERIFYING SOLUTIONS TO COMPUTATIONAL PUZZLES

I hereby certify that the Transmittal letter (2 pages) (in triplicate); Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (2 pgs); Legible Copies of Three (3) Cited References; and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on March 29, 2005.

Kendell Steele

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(Typed or Printed Name of Person Mailing  
Correspondence)



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(Signature of Person Mailing Correspondence)

**EV 524683268 US**

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("Express Mail" Mailing Label Number)

KCS0000005149V001

EXPRESS MAIL LABEL NO.: EV 524683254 US

Form PTO-1449

Sheet 1 of 2

Applicant: Robert George Atkinson, et al.

Serial No.: 10/683,624

Att'y Docket No.: 13768.418.2

Filing Date: October 10, 2003

Group: 2142

Confirmation No.: 1838

For: REDUCING UNWANTED AND UNSOLICITED ELECTRONIC  
MESSAGES BY EXCHANGING ELECTRONIC MESSAGE  
TRANSMISSION POLICIES AND SOLVING AND VERIFYING  
SOLUTIONS TO COMPUTATIONAL PUZZLES



INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Patent Number</u>	<u>Issue Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A1.	6,199,102	03/06/01	Cobb	709	206	08/26/97
_____ A2.	6,321,267	11/20/01	Donaldson	709	229	11/23/99

U.S. Patent Publications

<u>Examiner Initial*</u>	<u>Publication Number</u>	<u>Pub. Date</u>	<u>Name</u>	<u>Class</u>	<u>Sub Class</u>	<u>Filing Date</u>
_____ A3.	2002/0198950A1	12/26/02	Leeds	709	206	04/10/02

Other Documents

<u>Examiner Initial*</u>	
_____ A4.	Klensin, J., "Simple Mail Transfer Protocol" Request for Comments: 2821, Category: Standards Track, April 2001
_____ A5.	Vixie, Paul, "Repudiating MAIL FROM" Request for Comments, Category: Experimental, June 6, 2002
_____ A6.	"The Coordinated Spam Reduction Initiative" Online! February 13, 2004, pages 1-54, Retrieved from the Internet: <a href="http://spf.pobox.com/caller-id/csrl.pdf">URL:http://spf.pobox.com/caller-id/csrl.pdf</a>

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

EXPRESS MAIL LABEL NO.: EV 524683254 US

Form PTO-1449

Sheet 2 of 2

Applicant: Robert George Atkinson, et al.

Serial No.: 10/683,624

Att'y Docket No.: 13768.418.2

Filing Date: October 10, 2003

Group: 2142

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For: REDUCING UNWANTED AND UNSOLICITED ELECTRONIC  
MESSAGES BY EXCHANGING ELECTRONIC MESSAGE  
TRANSMISSION POLICIES AND SOLVING AND VERIFYING  
SOLUTIONS TO COMPUTATIONAL PUZZLES

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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

KCS0000005147V001

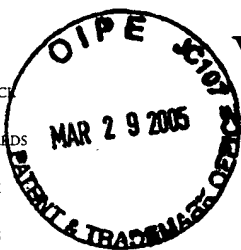
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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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EXPRESS MAIL LABEL NO.: EV 524683254 US PATENT APPLICATION  
Docket No.: 13768.418.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

X Form PTO-1449 list of five (5) references submitted for consideration.

X Legible copies of the listed published references or their relevant portions.

— All English translations of each non-English reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

— Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

— Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.

— Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

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VERNON R. RICE §  
OF COUNSEL

\_\_\_ Legible Copies of previously filed Information Disclosure  
Statement for application Serial No. \_\_\_\_, filed \_\_\_\_.

In order to secure consideration of the items designated above, one or  
more of the following, if required, is also enclosed:

\_\_\_ Promptness Certification.

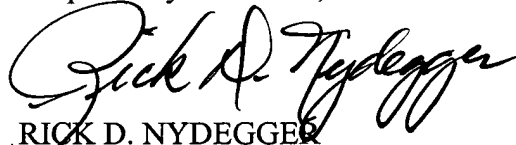
\_\_\_ Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ constituting  
submission fee under 37 C.F.R. 1.17(p);

\_\_\_ Petition for Consideration and Check No. \_\_\_\_\_ in the  
amount of \$ \_\_\_\_\_.

X In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is  
not satisfied that the Promptness Certification meets the  
requirements of 37 C.F.R. § 1.97(e), or in any other event  
remediable by a fee, please credit any over payment or charge any  
additional fees to Deposit Account No. 23-3178 of the  
undersigned.

Dated this 29<sup>th</sup> day of March, 2005.

Respectfully submitted,



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